Annex 6

Humanitarian Assistance

Indicators and Definitions

Humanitarian Assistance Indicators

Handbook Guidance – Annex 6

The Humanitarian Assistance Objective contains three Areas:

- (1) Protection, Assistance and Solutions,
- (2) Disaster Readiness, and
- (3) Migration Management.

Many of the indicators for HA are not indicators that Posts and Missions are expected to report on. The information for these indicators will be reported by the respective Bureaus in Washington. These are marked as "Bureau Reported."

Further, F is not requiring that Operating Units set targets against indicators in Area 1, Protection, Assistance and Solutions and Area 3, Migration Management given that the interventions can not be forward planned. F does expect those results to be reported at the end of the fiscal year.

Humanitarian Assistance

Indicator List

Program Area: Protection, Assistance and Solutions

Element: HA 1.1 - Protection and Solutions

Indicator Title: Number of beneficiaries assisted by USG-supported protection and solutions activities (Bureau reported)

Indicator Title: Number of countries with effective registration capacity in refugee situations (Bureau reported)

Indicator Title: Percentage of refugees admitted to the U.S. against the regional ceilings established by presidential determination (Bureau reported)

Indicator Title: Percentage of NGO or other international organization projects that include activities to prevent and/or respond to gender-based violence

Element: HA 1.2 - Assistance and Recovery

Indicator Title: Percentage of disasters declared within 72 hours (disaster declaration cable sent) (Bureau reported)

Indicator Title: Percentage of planned emergency food aid beneficiaries reached (Bureau reported)

Indicator Title: Percent of disaster-affected households provided with basic inputs for survival, recovery or restoration of productive capacity (Bureau reported)

Program Area: Disaster Readiness

Element: HA 2.1 – Capacity Building, Preparedness, and Planning

Indicator Title: Percentage of USG missions/embassies with complete disaster relief plans in place (Bureau reported)

Indicator Title: Number of countries with early warning systems linked to a response system in place as a result of USG assistance (Bureau reported) Indicator Title: Number of people trained in disaster preparedness as a result of USG assistance

Element: HA 2.2 – Mitigation

Indicator Title: Percentage of USG-assisted communities that have constructed/developed physical infrastructure to mitigate the effects of shocks Indicator Title: Percentage of USG-assisted shock prone areas reporting maintenance or improvement in household food consumption

Program Area: Migration Management

Humanitarian Assistance Indicators

Element: 3.1 - Protection and Assistance

Indicator Title: Percentage of countries with USG-funded programs that establish policies, practices and systems that protect and assist vulnerable migrants (Bureau reported)

Indicator Title: Reduction in average cost of stay of migrants from the former

Soviet Union in absorption centers in Israel (Bureau reported)

Indicator Title: Percentage of eligible humanitarian migrants to Israel that receive

mandatory services (Bureau reported)

Element: 3.2 – Institutional Support and Capacity-Building

Indicator Title: Percentage of eligible associate experts who are hired permanently by IOM in a given fiscal year (Bureau reported)

Note on Program Support Indicators

Standard Program Support indicators are associated with each Program Area of the *Humanitarian Assistance* Objective. These 12 indicators are found in the FACTS system at the end of the indicator list for each Program Area.

The Program Support indicators are standard across all five Objectives. In order to avoid extensive duplicate entries, data reference sheets for these 12 standard indicators are contained in a separate Annex and are not listed here.

For reference, the 12 standard indicators are:

- Number of institutions with improved Management Information Systems, as a result of USG Assistance
- Number of institutions that have used USG-Assisted MIS System Information to inform administrative/management decisions
- Number of local organizations provided with technical assistance for strategic information activities
- Number of people trained in monitoring and evaluation
- Number of people trained in operational research
- Number of people trained in other strategic information management
- · Number of baseline or feasibility studies
- Number of monitoring plans
- Number of sector assessments
- Number of evaluations
- Number of special studies
- Number of information gathering or research activities

HUMANITARIAN ASSISTANCE

Program Area: Protection, Assistance and Solutions

ELEMENT: HA 1.1 - P	ROTECTION AND	SOLUTIONS
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INDICATOR TITLE: NUMBER OF BENEFICIARIES ASSISTED BY USG-SUPPORTED

PROTECTION AND SOLUTIONS ACTIVITIES (BUREAU REPORTED)

DEFINITION.

Beneficiaries assisted are those receiving any services funded under this element.

RATIONALE:

This indicator provides a gross measure of the breadth of activity funded under this element.

UNIT:	DISAGGREGATE BY:
Number of beneficiaries	None
Түре: Оитрит/Оитсоме	DIRECTION OF CHANGE:
Output	Higher = better
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DATA SOURCE:

Implementing Partners

MEASUREMENT NOTES:

Targets are set and results are reported by the Washington Bureaus responsible for the funds. Missions/Posts are not required to target and report on this indicator.

ELEMENT: HA 1.1 - PROTECTION AND SOLUTIONS

INDICATOR TITLE: **NUMBER OF COUNTRIES WITH EFFECTIVE REGISTRATION CAPACITY IN REFUGEE SITUATIONS (BUREAU REPORTED)**

DEFINITION:

A country is considered to have "effective registration capacity" when it uses UNHCR's Project Profile (a standardized registration system), followed by the government's operation of Project Profile alone or jointly with UNHCR. The goal is to increase the number of countries that have "effective registration capacity."

RATIONALE:

Effective refugee registration establishes the number of refugees present in a given situation, family ties and composition, number of vulnerable persons, etc. This information helps ensure that all refugees receive the assistance and protection they need and helps prevent misuse of refugee assistance by non-refugees.

DISAGGREGATE BY:	
None	
DIRECTION OF CHANGE:	
Higher = Better	

DATA SOURCE:

UNHCR

MEASUREMENT NOTES:

ELEMENT: HA 1.1 - PROTECTION AND SOLUTIONS

INDICATOR TITLE: PERCENTAGE OF REFUGEES ADMITTED TO THE U.S. AGAINST THE REGIONAL CEILINGS ESTABLISHED BY PRESIDENTIAL DETERMINATION (BUREAU REPORTED)

DEFINITION:

Number of refugees admitted to the U.S. as a percentage of the regional ceilings established by Presidential Determination.

Regional ceilings established by Presidential Determination means the maximum number set by the President for refugee admissions to the U.S. in a given fiscal year. For FY 2007, the PD's regional ceilings total 50,000. Presidential Determination on FY 2007 Refugee Admissions Numbers and Authorizations of In-Country Refugee Status Pursuant to Sections 207 and 101(a)(42), respectively, of the Immigration and Nationality Act, and Determination Pursuant to Section 2(b)(2) of the Migration and Refugee Assistance Act, as amended.

This indicator measures the effectiveness of the refugee admissions program overall.

UNIT:	DISAGGREGATE BY:
Percent of regional ceiling	None
TYPE: OUTPUT/OUTCOME	DIRECTION OF CHANGE:
Output	Higher = Better
DATA SOURCE:	

PRM, Refugee Processing Center (RPC)

MEASUREMENT NOTES:

ELEMENT: HA 1.1 - PROTECTION AND SOLUTIONS

INDICATOR TITLE: PERCENTAGE OF NGO OR OTHER INTERNATIONAL ORGANIZATION PROJECTS THAT INCLUDE ACTIVITIES TO PREVENT AND/OR RESPOND TO GENDER-BASED VIOLENCE

DEFINITION:

Percentage of NGO or other international organization projects that include activities to prevent and/or respond to gender-based violence.

All USG-funded projects, funded under this element, are included. Within these are included all PRM-funded NGO and IO projects that include activities that focus on prevention of and response to gender-based violence. Types of activities include awareness raising, prevention, response, capacity building. In past years, projects have included: community-based education programs, medical and counseling services for survivors, gender-based violence training for police and the judiciary, and educating NGO staff on preventing and responding to gender-based violence.

Gender-based violence is violence that is directed against a person on the basis of gender or sex. Acts that inflict physical, mental, or sexual harm or suffering. Includes rape, sexual assault, forced marriage, female genital mutilation, domestic violence, and other forms of abuse.

RATIONALE:

Gender-based violence (GBV) is a serious protection concern for refugees, IDPs and other conflict victims. Evidence suggests that increased vulnerability during complex humanitarian emergencies may lead to a rise in GBV, particularly sexual violence. The USG relies on NGOs with specialized capacities to fill this important gap and ensure that essential GBV support is provided.

UNIT:	DISAGGREGATE BY:
Percent of projects	None
TYPE: OUTPUT/OUTCOME	DIRECTION OF CHANGE:
Output	Higher = Better
DATA SOURCE:	
Implementing partners	
MEASUREMENT NOTES:	

ELEMENT: HA 1.2 - ASSISTANCE AND RECOVERY	
INDICATOR TITLE: PERCENTAGE OF DISASTERS DECLARED WITHIN 72 HOURS (DISASTER	
DECLARATION CABLE SENT) (BUREAU REPORTED)	

DEFINITION:

Number of disasters responded to within 72 hours. Response is defined as when the disaster declaration cable is sent.

RATIONALE:

This indicator measures a critical aspect of an effective response to disasters.

UNIT:	DISAGGREGATE BY:	
Percent of disasters	None	
TYPE: OUTPUT/OUTCOME	DIRECTION OF CHANGE:	
Output	Higher = Better	
DATA COURSE.		

DATA SOURCE:

OFDA

MEASUREMENT NOTES:

Targets are set and results are reported by the Washington Bureaus responsible for the funds. Missions/Posts are not required to target and report on this indicator.

ELEMENT: HA 1.2 - ASSISTANCE AND RECOVERY

INDICATOR TITLE: PERCENTAGE OF PLANNED EMERGENCY FOOD AID BENEFICIARIES REACHED (BUREAU REPORTED)

DEFINITION:

Beneficiaries are those who come into direct contact with the goods or services provided by the program.

Reached is defined as contact with a beneficiary regardless of the number of times or amount of assistance received.

The sum of number of beneficiaries reached by each emergency food aid program is divided by the sum of the planned beneficiaries of each emergency food aid program.

RATIONALE:

The effectiveness of USG food aid programs in reaching their planned beneficiaries is an important prerequisite to increased field-level impact. Successfully reaching planned beneficiaries is especially important for saving lives and livelihoods.

Unit:	DISAGGREGATE BY:
Percent of planned beneficiaries	None
TYPE: OUTPUT/OUTCOME	DIRECTION OF CHANGE:
Output	Higher = better

DATA SOURCE:

Implementing partners

MEASUREMENT NOTES:

ELEMENT: HA 1.2 - ASSISTANCE AND RECOVERY

INDICATOR TITLE: PERCENT OF DISASTER-AFFECTED HOUSEHOLDS PROVIDED WITH BASIC INPUTS FOR SURVIVAL, RECOVERY OR RESTORATION OF PRODUCTIVE CAPACITY (BUREAU REPORTED)

DEFINITION:

The number of disaster-affected households is defined in the disaster declaration.

A household is counted once as having been provided with inputs regardless of the number of times or amount and type of assistance received.

Inputs for survival, recovery or restoration of productive capacity include water, sanitation, health, food, nutrition, shelter and camp management, productive input and infrastructure rehabilitation commodities and services.

The sum of the number of households reached by all programs responding to a disaster is divided by the total number of disaster-affected households to calculate the percent of households reached in each disaster. The percent of households reached in each disaster is weighted by the number of households affected to create a weighted average across all disasters.

RATIONALE:

The ability to reach disaster-affected households with basic inputs for survival, recovery and restoration is central to the success of Assistance and Recovery efforts.

UNIT:	DISAGGREGATE BY:
Percent of disaster-affected	None
households	
TYPE: OUTPUT/OUTCOME	DIRECTION OF CHANGE:
Output	Higher = better

DATA SOURCE:

Implementing partners

MEASUREMENT NOTES:

Targets are set and results are reported by the Washington Bureaus responsible for the funds. Missions/Posts are not required to target and report on this indicator.

Note: the USG aims to increase the international community's financial contribution to addressing disasters. The USG will track the overall percentage of disaster-affected households assisted to make sure it is increasing while the percentage assisted by US-funded programs decreases.

Program Area: Disaster Readiness

ELEMENT: HA 2.1 - CAPACITY BUILDING, PREPAREDNESS, AND PLANNING

INDICATOR TITLE: PERCENTAGE OF USG MISSIONS/EMBASSIES WITH COMPLETE DISASTER RELIEF PLANS IN PLACE (BUREAU REPORTED)

DEFINITION:

A complete Mission Disaster Relief Plan (MDRF) consists of:

- a Hazard and Risks Analysis,
- a Country Logistics and Resources Assessment (CLARA).
- specific emergency scenarios which could impact the Mission's work there;
- response plans for each of the included scenarios (including strategy, implementation, available resources, logistics, internal management, budgeting, and preparedness actions),
- an Action Checklist and Timeline,
- all relevant contact information, and
- an agreed-upon schedule for updating and up-keeping the disaster relief plan.

MDRPs must be shared with OFDA.

RATIONALE:

The MDRP is a critical component of achieving a U.S. Mission's state of disaster preparedness and as a guide in providing disaster assistance. It assigns responsibilities, clarifies authorities and lines of communications, and sets forth guidelines for the conduct of disaster emergency relief operations in the country. The plan is implemented upon the direction of the U.S. Chief of Mission in order to alleviate human suffering and loss of human life caused by acts of man or nature. The plan is designed to become operational when there is either an occurrence or a substantial threat of disaster or other significant event that might warrant its activation.

warrant no activation:	
UNIT:	DISAGGREGATE BY:
Percent of missions/embassies	None
Түре: Оитрит/Оитсоме	DIRECTION OF CHANGE:
Output	Higher = better
DATA SOURCE:	-
OFDA	

MEASUREMENT NOTES:

ELEMENT: HA 2.1 - CAPACITY BUILDING, PREPAREDNESS, AND PLANNING

INDICATOR TITLE: NUMBER OF COUNTRIES WITH EARLY WARNING SYSTEMS LINKED TO A RESPONSE SYSTEM IN PLACE AS A RESULT OF USG ASSISTANCE (BUREAU REPORTED)

DEFINITION:

Early warning systems include FEWSNET (the Famine Early Warning Mechanism Network). Countries are counted against this indicator if a linkage has been put in place between an early warning system and a response system as a result of USG assistance during this reporting period.

RATIONALE:

Early warning systems are critical to enable efficient and effective readiness. Systems need to warn about shocks and provide information to inform appropriate response, including food and non-food interventions.

UNIT:	DISAGGREGATE BY:
Number of countries	None
TYPE: OUTPUT/OUTCOME	DIRECTION OF CHANGE:
Outcome	Higher = better

DATA SOURCE:

Missions/FEWSNet Implementing Partners

MEASUREMENT NOTES:

Targets are set and results are reported by the Washington Bureaus responsible for the funds. Missions/Posts are not required to target and report on this indicator.

ELEMENT: HA 2.1 - CAPACITY BUILDING, PREPAREDNESS, AND PLANNING

INDICATOR TITLE: NUMBER OF PEOPLE TRAINED IN DISASTER PREPAREDNESS AS A RESULT OF USG ASSISTANCE

DEFINITION:

This indicator will include individuals who have attended disaster preparedness training programs. This will include those trained in disaster preparedness through specific training programs, e.g. seismic awareness and prevention programs, Emergency Managers and First Responders training, and community members trained through community based disaster preparedness training.

RATIONALE:

Most lives are saved by local responders and neighbors in the immediate aftermath of a disaster. Simple preparedness measures can save many lives in earthquakes, floods, and food insecurity. Training local communities and responders on preparedness has a high benefit cost ratio in both lives saved and money spent.

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UNIT:	DISAGGREGATE BY:
Number of people	Sex
TYPE: OUTPUT/OUTCOME	DIRECTION OF CHANGE:
Output	Higher = better
DATA SOURCE:	

DATA SOURCE:

DCHA/OFDA; DCHA/FFP

MEASUREMENT NOTES:

ELEMENT: HA 2.2 - MITIGATION

INDICATOR TITLE: PERCENTAGE OF USG-ASSISTED COMMUNITIES THAT HAVE CONSTRUCTED/DEVELOPED PHYSICAL INFRASTRUCTURE TO MITIGATE THE EFFECTS OF SHOCKS

DEFINITION:

The focus is on physical infrastructure that mitigates the effect of natural shocks, such as floods and droughts.

Implementing partners provide information on the number of communities that meet the criteria and the total number of communities assisted. The percentage of communities is calculated by dividing the sum of the program-specific number of communities meeting the criteria by the sum of the program-specific number of communities assisted.

RATIONALE:

Building cyclone shelters, flood embankments, gully plugs and other soil and water conversation structures can help communities reduce damage due to tropical storms and floods. Water conservation and retention structures help reduce the damage caused by drought. Building community resilience through this kind of physical infrastructure is a critical aspect of mitigation.

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UNIT:	DISAGGREGATE BY:	
Percent of USG-assisted	None	
communities		
TYPE: OUTPUT/OUTCOME	DIRECTION OF CHANGE:	
Outcome	Higher = Better	
DATA SOURCE:		
Implementing partners		
MEASUREMENT NOTES:		

ELEMENT: HA 2.2 - MITIGATION

INDICATOR TITLE: PERCENTAGE OF USG-ASSISTED SHOCK PRONE AREAS REPORTING MAINTENANCE OR IMPROVEMENT IN HOUSEHOLD FOOD CONSUMPTION

DEFINITION:

Shocks include natural disasters, economic downturns, and other external shocks. Household food consumption is maintained when the value of the indicator from the reporting year is the same as the baseline. Household food consumption is improved when the value of the indicator from the reporting year is greater than the baseline. Food consumption is measured by household dietary diversity or months of adequate food provisioning. If the program reports on both dietary diversity and months of adequate food provisioning, the program is considered to have maintained or improved household food consumption if either of the measures meets the requirements for maintenance or improvement.

Implementing partners provide information on the number of areas that meet the criteria and the total number of areas assisted. The percentage of areas is calculated by dividing the sum of the program-specific number of areas meeting the criteria by the sum of the program-specific number of areas assisted.

RATIONALE:

The indicator captures the extent to which USG programs are successful in assisting households to reduce their vulnerability to shocks. The indicator is stated as "maintenance or improvement" because the level of vulnerability of the target populations to risk factors is such that the maintenance of household food consumption levels, in the face of a drought for example, represents an improved level of resiliency.

UNIT:	DISAGGREGATE BY:
Percent of areas	None
TYPE: OUTPUT/OUTCOME	DIRECTION OF CHANGE:
Outcome	Higher = Better
DATA SOURCE:	
Implementing partners	
MEASUREMENT NOTES:	

Program Area: Migration Management

ELEMENT: 3.1 - PROTECTION AND ASSISTANCE

INDICATOR TITLE: PERCENTAGE OF COUNTRIES WITH USG-FUNDED PROGRAMS THAT ESTABLISH POLICIES, PRACTICES AND SYSTEMS THAT PROTECT AND ASSIST VULNERABLE MIGRANTS (BUREAU REPORTED)

DEFINITION:

The percentage of countries, with USG-funded programs under this element, that have established policies, practices, and systems that protect and assist vulnerable migrants during the period compared to all countries funded during the measurement period.

RATIONALE:

Funding projects of this type are intended, in part, to build the capacity of governments in these countries to better protect and assist vulnerable migrants.

UNIT:	DISAGGREGATE BY:
Percent of countries	None
TYPE: OUTPUT/OUTCOME	DIRECTION OF CHANGE:
Outcome	Higher = Better

DATA SOURCE:

International Organization for Migration project progress reports, PRM desk and field monitoring

MEASUREMENT NOTES:

ELEMENT: 3.1 - PROTECTION AND ASSISTANCE

INDICATOR TITLE: REDUCTION IN AVERAGE COST OF STAY OF MIGRANTS FROM THE FORMER SOVIET UNION IN ABSORPTION CENTERS IN ISRAEL (BUREAU REPORTED)

DEFINITION:

Reduction in time migrants from the former Soviet Union stay at absorption centers, thereby reducing cost.

RATIONALE:

Humanitarian migrants leave absorption centers when able to secure permanent housing. Leaving absorption centers reflects their ability to make this critical step toward self-sufficiency and the ability to secure and service low-interest government loans or otherwise provide housing for themselves. This indicator illustrates the level of UIA's efficiency in facilitating that process.

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UNIT:	DISAGGREGATE BY:
Dollars	None
TYPE: OUTPUT/OUTCOME	DIRECTION OF CHANGE:
Outcome	Higher = better

DATA SOURCE:

United Israel Appeal (UIA), Jewish Agency for Israel (JAFI)

MEASUREMENT NOTES:

ELEMENT: 3.1 - PROTECTION AND ASSISTANCE

INDICATOR TITLE: PERCENTAGE OF ELIGIBLE HUMANITARIAN MIGRANTS TO ISRAEL THAT RECEIVE MANDATORY SERVICES (BUREAU REPORTED)

DEFINITION:

Mandatory services are defined as care and processing en route, transport to Israel, and transitional housing.

Eligible humanitarian migrants to Israel explanation: This program addresses the situation of Jews in the former Soviet Union, Eastern Europe, Africa and the Near East and other countries where Jews are in distress. The U.S. funds portions of five programs as part of the overall work of the UIA, the only U.S. organization with a resettlement program in Israel. The program resettles humanitarian migrants to Israel, providing them with knowledge and skills to help them integrate and achieve self-sufficiency.

RATIONALE:

Receiving mandatory assistance will enable humanitarian migrants to Israel to achieve the program's long-term goal of enabling them to become self-sufficient members of Israeli society.

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UNIT:	DISAGGREGATE BY:	
Percent of eligible migrants	None	
TYPE: OUTPUT/OUTCOME	DIRECTION OF CHANGE:	
Output	Higher = Better	
DATA SOURCE:		

United Israel Appeal (UIA)

MEASUREMENT NOTES:

ELEMENT: 3.2 - INSTITUTIONAL SUPPORT AND CAPACITY-BUILDING		
INDICATOR TITLE: PERCENTAGE OF ELIGIBLE ASSOCIATE EXPERTS WHO ARE HIRED		
PERMANENTLY BY IOM IN A GIVEN FISCAL YEAR (BUREAU REPORTED)		
DEFINITION:		
Percentage of eligible Associate Experts (AEs) who are hired permanently by		
IOM in a given fiscal year.		
RATIONALE:		
The permanent hire of PRM-funded AEs increases American representation in		
IOM.		
UNIT:	DISAGGREGATE BY:	
Percent of eligible AEs	None	
TYPE: OUTPUT/OUTCOME	DIRECTION OF CHANGE:	
Outcome	Higher = better	
DATA SOURCE:		
Reports from IOM of eligible AEs who are hired.		
MEASUREMENT NOTES:		